FILED

NOT FOR PUBLICATION

Debtor.

Appellant,

Appellee.

JUL 17 2008

HAROLD S. MARENUS, CLERK U.S. BKCY. APP. PANEL OF THE NINTH CIRCUIT

UNITED STATES BANKRUPTCY APPELLATE PANEL OF THE NINTH CIRCUIT

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6 In re:

C. R. TILLMAN,

C. R. TILLMAN,

ROD DANIELSON, Trustee,

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² Hon. Paul B. Snyder, U.S. Bankruptcy Judge for the Western District of Washington, sitting by designation.

BAP No. CC-07-1432-PaMkSn

Bk. No. RS 07-14933-MJ

MEMORANDUM1

Argued and Submitted on June 19, 2008, at Pasadena, California

Filed - July 17, 2008

Appeal from the United States Bankruptcy Court for the Central District of California

Hon. Meredith A. Jury, U.S. Bankruptcy Judge, Presiding

Before: PAPPAS, MARKELL and $SNYDER^2$, Bankruptcy Judges.

This disposition is not appropriate for publication. Although it may be cited for whatever persuasive value it may have ($\underline{\text{see}}$ Fed. R. App. P. 32.1), it has no precedential value. See 9th Cir. BAP Rule 8013-1.

Debtor C.R. Tillman ("Tillman") appeals the bankruptcy court's order dismissing his bankruptcy case for failure to file required documents and to cure deficiencies associated with the filing of his petition. We AFFIRM the order of the bankruptcy court.

FACTS

Tillman, acting pro se, filed a chapter 7³ petition on August 20, 2007. Because his filing consisted solely of the petition, a Deficiency Notice was issued by the clerk and mailed to Tillman. The Deficiency Notice set a September 4, 2007 deadline for Tillman to file all required documents in his case.⁴

On August 22, 2007, the bankruptcy court issued an Order to Show Cause Re: Dismissal ("OSC") directed to Tillman. The OSC required Tillman to file the documents necessary to cure each of the deficiencies listed in the Deficiency Notice "not later than 15 days from the date of the filing of the petition." As with the Deficiency Notice, this fifteen-day period would lapse on September 4, 2007.

The OSC provided further that if the documents were not timely filed, a hearing would be conducted by the bankruptcy court on September 12, 2007, at which Tillman was required to

 $^{^3}$ Unless specified otherwise, all references are to the Bankruptcy Code, 11 U.S.C. §§ 101-1532, and to the Federal Rules of Bankruptcy Procedure, Rules 1001-9037.

⁴ It appears from the docket that Tillman had not filed the following documents: Schedules A - J, Statement of Financial Affairs, Employee Income Record, Form 22A, Statement of Assistance of Non-attorney, Summary of Schedules, Declaration concerning Tillman's schedules, Certificate of Credit Counseling, and Statistical Summary.

appear in person (with or without attorney) and to show cause why the bankruptcy case should not be dismissed with a 180-day bar as to refiling.

On September 4, 2007, Tillman moved to convert his case from chapter 7 to chapter 13. A handwritten note on the motion incorporates an attached document entitled "Declaration for extention [sic] and/or conversion to chapter 13 from chapter 7 filed on 8-20-07." The motion to convert was granted the following day, September 5, 2007. The chapter 7 trustee was discharged, and the Appellee, Rod Danielson, was appointed chapter 13 trustee. 5

As Tillman had been advised in the OSC, on September 12, 2007, the bankruptcy court conducted the hearing to consider his failure to file the missing schedules. As a result of the hearing, the bankruptcy court entered an Order Dismissing Case on September 12, 2007. A Notice of Dismissal of the bankruptcy case was filed and served on interested parties by the clerk on September 13, 2007. Tillman filed a timely appeal of the dismissal on September 24, 2007.

JURISDICTION

The bankruptcy court had jurisdiction under 28 U.S.C. \$\$ 1334 and 157(b)(2)(A). The Panel has jurisdiction under 28 U.S.C. \$ 158.

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⁵ Although named as appellee in this appeal, Danielson did not submit a brief or participate in oral argument.

ISSUES⁶

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- 1. Whether the bankruptcy court abused its discretion in denying Tillman an extension of time in which to file documents required under Rule 1007.
- 2. Whether the bankruptcy court abused its discretion when it dismissed Tillman's chapter 13 case for failing to file required documents under Rule 1007.
- 3. Whether the bankruptcy court violated Tillman's rights as a pro se debtor when it did not grant him an extension of time in which to file the required documents.

STANDARDS OF REVIEW

A bankruptcy court's denial of an extension of time under Rule 9006(b), the general rule governing enlargement of time, is reviewed for an abuse of discretion. Nunez v. Nunez (In re Nunez), 196 B.R. 150, 155 (9th Cir. BAP 1996); Zidell, Inc. v. Forsch (In re Coastal Alaska Lines, Inc.), 920 F.2d 1428, 1431 (9th Cir. 1990).

We review the bankruptcy court's decision to dismiss a bankruptcy case for abuse of discretion. Leavitt v. Soto (In re Leavitt), 171 F.3d 1219, 1222-23; Ho v. Dowell (In re Ho), 274

In his brief at pages 2, 4 and 5, Tillman refers to a purported violation of the automatic stay. This apparently refers to a county tax sale of some property Tillman owned that occurred the day after Tillman filed his chapter 7 petition. There is no indication in the record that this sale was ever brought to the attention of the bankruptcy court. The Panel expresses no opinion concerning that subject.

⁷ We were unable to locate a reported decision that addresses the standard of review for an order granting or denying for an extension of time to file schedules under Rule 1007(c). We have no reason, however to believe the standard of review should be anything other than abuse of discretion.

B.R. 867, 871 (9th Cir. BAP 2002). "A court abuses its discretion if it does not apply the correct law or if it rests its decision on a clearly erroneous finding of material fact."

Ho, 274 B.R. at 871 (citing <u>United States v. Spraque</u>, 135 F.3d 1301, 1304 (9th Cir. 1998)).

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Whether a procedure comports with basic requirements of due process is a question of law that we review de novo. Alonso v. Summerville (In re Summerville), 361 B.R. 133, 139 (9th Cir. BAP 2007); Garner v. Shier (In re Garner), 246 B.R. 617, 619 (9th Cir. BAP 2000).

DISCUSSION

I.

We first address the problematic state of the record in this appeal.

It has been the long-standing policy in our circuit that pro se appellants, without training in the law, should be treated with "great leniency" and their briefs "read liberally." Horphag Research Ltd. v. Garcia, 475 F.3d 1029, 1034 (9th Cir. 2006);

Draper v. Coombs, 792 F.2d 915, 924 (9th Cir. 1986).

Accordingly, while Tillman's brief does not comply with Rule 8010, we will endeavor to address his arguments as best we can,

considered in tandem with his presentation at oral argument.

⁸ He presents no statement of the case or presentation of facts, except to state that he would answer questions from the Panel regarding these matters at oral argument. His jurisdictional statement refers to the jurisdiction of the Ninth Circuit Court of Appeals, and is incorrect for that court. His standard of review discusses, without citation to authority, a substantial evidence standard that is appropriate for review of administrative proceedings, not bankruptcy cases. His argument is unfocused, and there is no conclusion.

But while we will attempt to treat his arguments thoughtfully, it is difficult to do so because of the deficiencies in his excerpts of record.

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The appellant bears the burden of presenting an adequate and accurate record on appeal. Kritt v. Kritt (In re Kritt), 190

B.R. 382, 387 (9th Cir. BAP 1995). This is a mandatory requirement, and no exceptions are permitted. Drysdale v. Educ.

Credit Mgmt. Corp. (In re Drysdale), 248 B.R. 386, 388 (9th Cir. BAP 2000). In particular, BAP Rule 8006-1 provides that "the excerpts of record shall include the transcripts necessary for adequate review in light of the standard of review to be applied to the issues before the Panel." 9th Cir. BAP Rule 8006-1; see also Rule 8009(b)(9) (mandating submission of transcript if required by BAP rule).

While Tillman included the dismissal order from the bankruptcy court in the excerpts, he did not provide a transcript of the OSC hearing conducted on September 12, 2007, at which the bankruptcy court decided to dismiss Tillman's bankruptcy case. Although the dismissal order implements the bankruptcy court's decision, it provides little insight into the reasons for that ruling. Instead, a transcript of the September 12, 2007 hearing is the "one document that would directly identify the manner in which the bankruptcy court exercised its discretion." McCarthy v. Prince (In re McCarthy), 230 B.R. 414, 416 (9th Cir. BAP 1999) (quoting Syncom Capital Corp.v. Wade, 924 F.2d 167, 169 (9th Cir. 1991)).

Tillman's failure to supply a transcript significantly interfered with the Panel's ability to effectively review the

bankruptcy court's decision. In addition, there is cause for concern about the reliability of the excerpts of record he has submitted. Tillman's excerpts include a copy of a declaration that was attached to his motion to convert filed in the bankruptcy court entitled "Declaration for extention and/or conversion to chapter 13 from chapter 7 filed on 8-20-07." ("Tillman Declaration"). Tillman asserts that in his declaration he sought to convert his case from chapter 7 to chapter 13 and he requested an extension of time to file the missing documents outlined in the Deficiency Notice. Since the copy of the Tillman Declaration included in the excerpts at page 1(a) contains a combination of typed and handwritten text and underlining, the Panel deemed it appropriate to compare it to the original of the Tillman Declaration in the record of the bankruptcy court. O'Rourke v. Seaboard Surety Co. (In re Fegert, Inc.), 887 F.2d 955, 957-58 (9th Cir. 1989) (appellate court may take judicial notice of the bankruptcy court records). It appears there are several differences between the two documents. Of particular significance to the Panel is that the original Tillman Declaration includes his "request [for] a 3 day extention" to file his missing documents, whereas the copy in the excerpts has apparently been altered to include a "request [for] a 13 day extention" by inserting a handwritten numeral "1" before the typed numeral 3.9

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The Panel could speculate about why Tillman would submit

⁹ This is a precise rendering of the appearance of the Tillman Declaration in the bankruptcy court's record and in the excerpts on appeal. We have not noted Tillman's obvious misspelling of "extension."

what appears, at best, to be an inaccurate excerpt from the bankruptcy court's record. Under the circumstances, however, we are compelled to disregard the copy of the Tillman Declaration in the excerpts in favor of the one filed in the bankruptcy court.

Atwood v. Chase Manhattan Mortg. Co., (In re Atwood), 293 B.R.

227, 233 (9th Cir. BAP 2003) (the BAP may supplement incomplete excerpts of record with information obtained from the bankruptcy court docket).

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In sum, Tillman's failure to provide a complete and adequate record on appeal could serve as grounds for dismissal of the appeal. McCarthy, 230 B.R. at 416. It may also constitute grounds for a summary affirmance of the order of the bankruptcy court. Friedman v. Sheila Plotsky Brokers, Inc. (In refriedman), 126 B.R. 63, 68 (9th Cir. BAP 1991). However, since Tillman is acting pro se and apparently has no legal training, we will exercise our discretion and, subject to these limitations, review the merits of Tillman's arguments on appeal.

II.

Α.

Reading his brief liberally, and based on his comments at oral argument, Tillman apparently misapprehends that conversion of his case from chapter 7 to chapter 13 obviated his obligation to either file his documents timely or respond to the bankruptcy court's OSC:

After said OSC was set the judge signed his conversion to a chapter 13 but failed to take the chapter 7 OSC off calendar since it was moot. Once a case is converted the prior case does not exist and a new OSC must be set in the new chapter. This was not done in the case at hand as the exerpts [sic] and argument to follow will demonstrate.

Tillman's Br. at 3. Tillman has provided no authority for these statements, which are not correct.

Contrary to Tillman's position, conversion from one chapter to another does not nullify the effect of the orders of the bankruptcy court entered before the conversion. In re Sheard, 1999 WL 454260 (Bankr. E.D. Pa. 1999) ("Conversion from chapter 7 to chapter 13 does not upset orders entered in the chapter 7 case."); 2 Keith Lunden, Chapter 13 Bankruptcy § 8.27 (1993) ("Orders that were entered in the prior Chapter 7 case are still effective. Conversion to Chapter 13 does not upset" such orders.). Although neither the BAP nor the Ninth Circuit has addressed this issue specifically, we have aligned with other circuits in affirming a general policy that a change in chapters should leave matters as they existed at the time of conversion.

A proper reading of § 348 indicates that it is not a source of disruption but, instead, preserves the continuity of the bankruptcy proceedings. It should not be read as a nullification act. It is not designed to change what has gone before but, rather, to leave matters as they existed on the date of conversion.

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Ramirez v. Whelan (In re Ramirez), 188 B.R. 413, 415 (9th Cir. BAP 1995) (quoting with approval In re Lybrook, 107 B.R. 611, 613 (Bankr. N.D. Ind. 1989), aff'd, 135 B.R. 321 (N.D. Ind. 1990), aff'd, 951 F.2d 136 (7th Cir. 1991)); accord In re Bell, 225 F.3d 203, 216 (2d Cir. 2000) (Conversion "is not designed to change what has gone before but, rather, to leave matters as they existed on the date of conversion."); Baker v. Rank (In re Baker), 154 F.3d 534, 537 (5th Cir. 1998) (quoting Lybrook as "persuasive"); Calder v. Job (In re Calder), 973 F.2d 862, 866 (10th Cir. 1992) (same). Therefore, the weight of authority is

against Tillman's argument that conversion effectively mooted the bankruptcy court's OSC. 10

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В.

Tillman is also incorrect in his contention that the bankruptcy court abused its discretion by not allowing him a fifteen-day extension for filing his schedules following the conversion of his case to chapter 13.

Nothing in the Bankruptcy Code, Rules, or the case law allows a debtor a new fifteen-day period to file his schedules after converting his case to chapter 13. Instead, § 348(a) provides that:

Conversion of a case under one chapter of this title to a case under another chapter of this title constitutes an order for relief under the chapter to which the case is converted, but, except as provided in subsections (b) and (c) of this section, does not effect a change in the date of filing the petition, the commencement of the case, or the order for relief.

Section 348(b) specifically enumerates exceptions to this rule, in which the conversion date, rather than the petition date, is used to measure deadlines. However, Rule 1007(c), which establishes the fifteen-day deadline for filing schedules and statements, is not addressed in any of those exceptions. The fifteen-day deadline in Rule 1007 is specifically tied to the petition filing date and not the date of conversion. Therefore, Tillman's argument that the Bankruptcy Code and Rule 1007 allows him a fifteen-day period following conversion for the filing of

We acknowledge that some orders dealing with matters solely implicated by the provisions of chapter 7 may not be effective after conversion to chapter 13. But, in this case, the bankruptcy court's order was entered to enforce Tillman's obligations under \S 521(a) and Rule 1007, which are applicable in both chapter 7 and chapter 13.

his schedules lacks merit.

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Tillman's suggestion that he should have been afforded fifteen additional days from conversion to file his schedules also reflects an inconsistency with the original Tillman Declaration he submitted to the bankruptcy court with his motion to convert. As noted above, in that declaration filed on September 4, 2007, Tillman requested conversion of his chapter 7 case to chapter 13 and also a three-day extension following conversion to submit his schedules. While the bankruptcy court promptly granted Tillman's motion to convert in its order of September 5, 2007, the conversion order made no reference to Tillman's request for a three-day extension to complete his schedules. But the bankruptcy court's failure to directly address Tillman's request for a three-day extension upon conversion did not prejudice Tillman. Even if the bankruptcy court granted Tillman's request, an additional three days would have required Tillman to file his missing schedules by Monday, September 10, 2007. Since Tillman failed to file anything by that date, and because the hearing on the OSC and the bankruptcy court's decision to dismiss his case did not occur until September 12, Tillman cannot be heard to complain.

Finally, even if Tillman could assert that he was prejudiced by the bankruptcy court's failure to grant his request for a three-day extension to file missing documents, the bankruptcy court did not abuse its discretion in denying that request under these facts. Extensions of time under Rule 1007(c) are not handed out as a matter of course, but only upon a showing of cause. Rule 1007(c). Bankr. C.D. Cal. Local Rule 1007-1

requires that "[m]otions to extend time to file . . . schedules . . . shall comply with F.R.B.P. 1007 . . . [and] shall be accompanied by evidence supporting the extension of time." It was therefore Tillman's burden to demonstrate that good cause existed for an extension. But the only evidence Tillman submitted to the bankruptcy court was the original Tillman Declaration, which stated, "The . . . county violation of the automatic stay on 8-21-07 in favor of investor with bidder no. 298 has delayed my filing schedules on time." Tillman has not explained how this alleged violation of the stay prevented him from timely filing his schedules, complying with the rules, or satisfying the Deficiency Notice and OSC.

Simply put, there is nothing in the record to show that the bankruptcy court abused its discretion in declining to extend the time for Tillman to file the necessary documents. The appropriate sanction for failure to file mandatory documents, as provided by the Code, is dismissal of his case. §§ 707(a)(3) and 1307(c)(9). The bankruptcy court acted within its discretion

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(continued...)

¹¹ Section 707 provides:

⁽a) The court may dismiss a case under this chapter only after notice and a hearing and only for cause, including -

⁽³⁾ failure of the debtor in a voluntary case to file, within fifteen days or such additional time as the court may allow after the filing of the petition commencing such case, the information required by paragraph (1) of section 521, but only on a motion by the United States

in dismissing Tillman's case.

III.

Tillman's final basis for challenging the dismissal of his case stems from his belief that the bankruptcy court violated his constitutional rights. It is unclear whether Tillman frames his constitutional issue as one of due process or equal protection.

Regardless, both arguments fail.

Interpreting his brief generously, Tillman contends that he was denied due process by the procedure used by the bankruptcy court in dismissing his case. Due process requires that Tillman be given notice "reasonably calculated, under all the circumstances, to apprise [him] of the pendency of the action and afford [him] an opportunity to present [his] objections."

11 (...continued) trustee.

Section 1307 provides, in pertinent part:

Except as provided in subsection (e) of this section, on request of a party in interest or the United States trustee and after notice and a hearing, the court may convert a case under this chapter to a case under chapter 7 of this title, or may dismiss a case under this chapter, whichever is in the best interests of creditors and the estate, for cause, including -

(9) only on request of the United States trustee, failure of the debtor to file, within fifteen days, or such additional time as the court may allow, after the filing of the petition commencing such case, the information required by paragraph (1) section 521[.]

Rio Props., Inc. v. Rio Int'l Interlink, 284 F.3d 1007, 1016-17 (9th Cir. 2002) (quoting Mullane v. Cent. Hanover Bank & Trust Co., 339 U.S. 306, 314 (1950)). But even given the scanty record, this much is clear: Tillman was given proper notice of the deficiencies in his filings; an opportunity, as well as a deadline, to cure those deficiencies; and fair warning of the adverse consequences flowing from his failure to comply with the Rules.

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The bankruptcy court may dismiss a case for the debtor's failure to file the necessary documents. §§ 707(a)(3) and 1307(c)(9). As required by the Rules, the bankruptcy court provided Tillman with timely, proper notice of its intended action, and scheduled a hearing at which Tillman was directed to appear to justify his failure to timely file his schedules and statements. The hearing occurred as scheduled, and Tillman declined to appear. At the conclusion of the hearing, the bankruptcy court entered an order of dismissal. There were no procedural deficiencies in Tillman's case to support a due process challenge.

Tillman's brief, charitably read, and some of his comments at oral argument, assert that he was denied equal protection because, he believes, debtors proceeding pro se are treated differently by the bankruptcy court than those who are

The U.S. Trustee joined in the bankruptcy court's OSC, which satisfies the statutory requirement that it be the U.S. Trustee that requests dismissal for failure to comply with \$ 521. However, even if the U.S. Trustee had not joined in the OSC, the bankruptcy court could properly dismiss Tillman's case sua sponte under \$ 105(a). Tennant v. Rojas (In re Tennant), 318 B.R. 860, 869 (9th Cir. BAP 2004).

represented by counsel. Specifically, Tillman argues that extensions of time are granted upon conversion to those debtors represented by lawyers, but are denied to those not appearing with an attorney.

In general, equal protection requires the government, and the courts, to treat similarly situated individuals alike. City of Cleburne, Tex. v. Cleburne Living Ctr., 473 U.S. 432, 439 (1985) ("The Equal Protection Clause of the Fourteenth Amendment commands that no State shall 'deny to any person within its jurisdiction the equal protection of the laws,' which is essentially a direction that all persons similarly situated should be treated alike.") (quoting Plyler v. Doe, 457 U.S. 202, 216 (1982)). 13 It follows that different treatment of dissimilarly situated persons does not violate equal protection. Hedquist v. Fokkena (In re Hedquist), 342 B.R. 295, 299 (8th Cir. BAP 2006). It is a violation of an individual's equal protection rights when it is proven that a person is a member of an identifiable class, that the person is intentionally treated differently from others similarly situated, and that there is no rational basis for the difference in treatment. Vill. of Willowbrook v. Olech, 528 U.S. 562, 564 (2000). However, unequal treatment alone does not prove an equal protection violation. Rather, there must also be proof of an unlawful intent to discriminate against a person for an invalid reason.

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Although this appeal does not implicate state action, the due process clause of the Fifth Amendment, binding on the federal government and courts, includes equal protection components. Equal protection claims under federal law are treated the same as equal protection claims under the Fourteenth Amendment. Weinberger v. Weisenfeld, 420 U.S. 636 (1975); Beller v. Middendorf, 632 F.2d 788 (9th Cir. 1980).

Discriminatory intent "implies more than intent as volition or intent as awareness of consequences. It implies that the decisionmaker . . . selected or reaffirmed a particular course of action at least in part 'because of,' not merely 'in spite of,' its adverse effects upon an identifiable group." Pers. Adm'r of Mass. v. Feeney, 442 U.S. 256, 279 (1979) (citation omitted).

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Tillman has not shown discriminatory unequal treatment here. By way of proof, Tillman relies solely on the clerk's docket concerning the bankruptcy case of a differently situated, although similarly named, debtor, R.C. Tillman. Tillman argues that R.C. Tillman was represented by an attorney and was granted an extension of time by the bankruptcy court after conversion of his case to file missing schedules and statements, while Tillman was not. Based solely on this docket, Tillman argues that pro se debtors are treated differently from those with attorneys in the subject bankruptcy court. But even a cursory review of the R.C. Tillman case docket reveals important differences between the two cases.

Both R.C. Tillman and Tillman began their journeys in bankruptcy court by filing chapter 7 petitions with no accompanying documents. The same deficiency notices were sent by the clerk to each, as were similar show cause orders. Here is where similarities end, however.

In the month between the issuance of OSC and the dismissal hearing, R.C. Tillman's case docket reflects two separate substitutions of counsel, a creditor's request for special notice with proof of service, and another continuance of the show cause hearing. The docket does not, however, indicate that R.C.

Tillman ever requested an extension of time in which to file the required documents. It indicates only that R.C. Tillman's show cause hearing was continued twice, apparently by the court.

The threshold for an equal protection claim is a showing of unequal treatment. Tillman's "proof" falls woefully short.

"Until such time as [a party] can show that it is receiving disparate treatment, there is no need for us to decide whether such treatment is violative of the right to equal protection."

Excess and Cas. Reinsurance Assoc. v. Ins. Comm'r, 656 F.2d 491, 497 (9th Cir. 1981).

Here, the record shows that while both bankruptcy cases began with a "skeletal" filing, they thereafter took different paths, and then reconverged at dismissal because neither debtor had filed the required documents. Significantly for this analysis, R.C. Tillman never sought an extension of time, and his case was ultimately dismissed for failure to file the necessary documents. Tillman has not demonstrated that he was treated differently in the first instance, let alone that he was singled out for discriminatory treatment because he was pro se.

CONCLUSION

We AFFIRM the order of the bankruptcy court dismissing Tillman's case.